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ABSTRACT

The Five Associated University Libraries (FAUL) is an example of a network which is not yet really a network in its own right: it is a free-loader on components of other networks, e.g. NYSILL, national ILL codes, TWX, telephone, UPS, U.S. Mails and the like. In fact, the organization could wake up one day and find all of its objectives met by other means, when its last cooperative act would be to vote itself out of existence. Indeed, some members would define FAUL as an unincorporated group of people bound together by a Constitution, By-Laws, prior investment and an uneasy feeling that money and time devoted to the enterprise could be spent better at home. In short, it is faith which holds the organization together, faith that somehow by magic it will all fall into place and someone will throw a switch and all the lights will go on. (Other papers from this conference are available as LI 003360 - 003384 and LI 003386 through LI 003390). (Author/NH)

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NETWORK ORGANIZATION

A CASE STUDY OF

THE FIVE ASSOCIATED UNIVERSITY LIBRARIES (FAUL)

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NETWORK ORGANIZATION
--a case study of the Five Associated University Libraries (FAUL)

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FAUL

1.0 INTRODUCTION

Unless it deals with some mental or physical abnormality with which we can secretly identify, a case study is more often than not little more than a recitation of historical events, important and unimportant, all jumbled together. Somehow enough truth, enough similarity to future events is supposed to be hiding amid the jumble that upon discovery helps us avoid past mistakes.

Anyone of us who has been foolhardy enough to participate in a library network or consortium must have realized, surely, that the gaps between what the organization says it is in its official documents, compared to what the leaders really want it to be, compared to what the lower echelons think it is, is a little like the parable of the blind men and the elephant. Becker and Olsen [1/] have characterized an information network as having a formal organization, communications circuits, bidirectionality, a directory, and switching capability. Generally, such a definition implies some kind of electronic component such as a telephone network has. At the very least, a self-respecting network should have plans for computerization even though it can sanguinely call itself a network if a delivery system or regional interlibrary loan arrangement has been agreed upon. FAUL is an example of a network which is not yet really a network in its own right: it is a free-loader on components of other networks, e.g. NYSILL, national ILL codes, TWX, telephone, UPS, U. S. Mails and the like. In fact, the organization could wake up one day and find

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Indeed, some members would define FAUL as an unincorporated group of people bound together by a Constitution, By-Laws, prior investment and an uneasy feeling that money and time devoted to the enterprise could be spent better at home.

In short, it is faith which holds the organization together, faith that somehow by magic it will all fall into place and someone will throw a switch and all the lights will go on.

Which leads the writer to assert unequivocally that "objective" observations, editorial comments and the selection of material included in this paper are purely his own doing, reflecting the idiosyncrasies of his own brand of truth. To be more truly a case study, someone who is not himself a part of the case should be making these observations.

2.0 *COUNTERPOINT*

In a recent book review in, of all places, *Life Magazine*, the reviewer observes that every man contains his own generation gap. Part of him, the anonymous reviewer continues, is attracted to the future, to change, while another part is drawn toward the past, toward the maintenance of continuity. The same dichotomy, the same schizoid quality appears to exist in the actions of organizations as large as nations, as small as families and certainly exists in library consortia. In general, if the voices of these opposites can at least carry on serious dialog, new forces can be built. Indeed, such is one face of progress.

Libraries, over the past six to ten years have been forming groups at a

great rate--many of them for contradictory purposes. To foster change--to prevent unwanted change; to defend an entrenched position--to absorb others; to increase local resources by gaining access to others--to keep hold of resources which local libraries already own. For every force toward change, a restraining counter-force opposes it, which, like the Ying-Yang principle in Chinese dualistic philosophy may be characterized more by indifference and passivity than by clear forceful expression. The movement forward is bogged down in a swamp of tradition and distrust; therein lies frustration.

Yet it can be no other way. Men and institutions resist a loss of control and autonomy and some loss of autonomy seems to be always necessary if useful cooperation is to occur. The very fact that members in a group of libraries divert local funds to a new institution (the consortium) means that some local leverage is sacrificed--fewer books can be bought, a new staff member cannot be hired, a new machine cannot be rented. Something is lost. If something is lost something else must be gained sometime, or, logic asks why voluntarily give it up at all? It is within this counterpoint of heady expectation and hard-nosed reality which the Five Associated University Libraries as a consortium is discussed here.

3.0 A NEW INSTITUTION

On August 10, 1970, FAUL was three years old, as dated from the adoption of its Constitution in 1967. For its birthday celebration the organization began an intensive self-evaluation which will not end until late November when screening of various reports by key library staff members is completed. This period could be labelled, "taking stock."

FAUL is composed of the libraries of the five largest Universities in

in Upstate New York: SUNY-Binghamton, SUNY-Buffalo, Cornell University, Syracuse University and the University of Rochester. To portray a collective picture, the collections number over 8 million volumes administered by about 1135 staff members, over 385 of which are professionals of one kind or another. The total library budget expenditure was over 13.2 million dollars during fiscal year 1969--about one million less than Harvard expects to spend for its libraries in 1976. Another measurement reveals that about 5.7 million transactions per year occur in the various circulation control systems which include interlibrary loan, and reserve room activities as well as the normal check-out/in transactions. This figure works out to about 16,000 transactions per work day for all five libraries.

Some ranges within the group are indicated by Cornell's volume count of 3-1/2 million compared with SUNY-Binghamton's 420,000. Other measures place the libraries in different sequences depending upon what is examined. For instance, in terms of "degree of automation" SUNY-Binghamton would be considered the most advanced in implemented systems, but Syracuse might be the furthest along in terms of integrated automation planning. SUNY-Buffalo, historically in the forefront in computer applications because of its early commitment to local shelf-list conversion has suspended most of its efforts except for the implementation of an interesting but as yet undocumented on-line circulation system in one of its branches, the Health Science Library. The University of Rochester Library has produced short title lists of serials and monographs by computer. And Cornell operates a widely-known complex monographic acquisitions system. So far, none of these efforts has yielded very much to cooperative effort with the exception of circulation systems automation, a case study all by itself. This experience is described in more detail later in this report.

4.0 GEOGRAPHIC ORIENTATION

The main campuses of the five Universities are in western New York State and are distributed along two axis in the rough shape of the character "L." The New York Thruway forms the major east-west axis and Interstate Route 81 the north-south axis (See FIG. 1). The longest distance in both milage and driving time is between SUNY-Buffalo and SUNY-Binghamton, 200 miles or 4.5 hours. The shortest distance and driving time is a two-way tie: Syracuse-Cornell, Binghamton-Cornell (See FIG. 2).

Some other campuses of the private universities are located in New York City, Utica, Poughkeepsie, Rome (New York), the Carribean and Europe. FAUL has not attempted to involve these centers in its activities so far.

5.0 FINANCES

To date all financial support has been provided by the member libraries. Currently, each member pays base dues of $13,000 which are used for central office staff salaries, travel, equipment, space rental, consultants and the like. In addition, small Research and Development projects are supported from these monies. If short-term projects are approved by the Board which require supplemental support, additional funds are assessed on a prorated basis, depending upon the character of the project. Several proposals have been sent to the USOE, the Council on Library Resources, and the National Endowment for the Humanities. None has been funded so far. FAUL is ineligible for N. Y. State funds since it is not incorporated.

Since August 1967, the cumulative monetary investment through June 1969 is $153,300 an average of $10,000 per library per year.

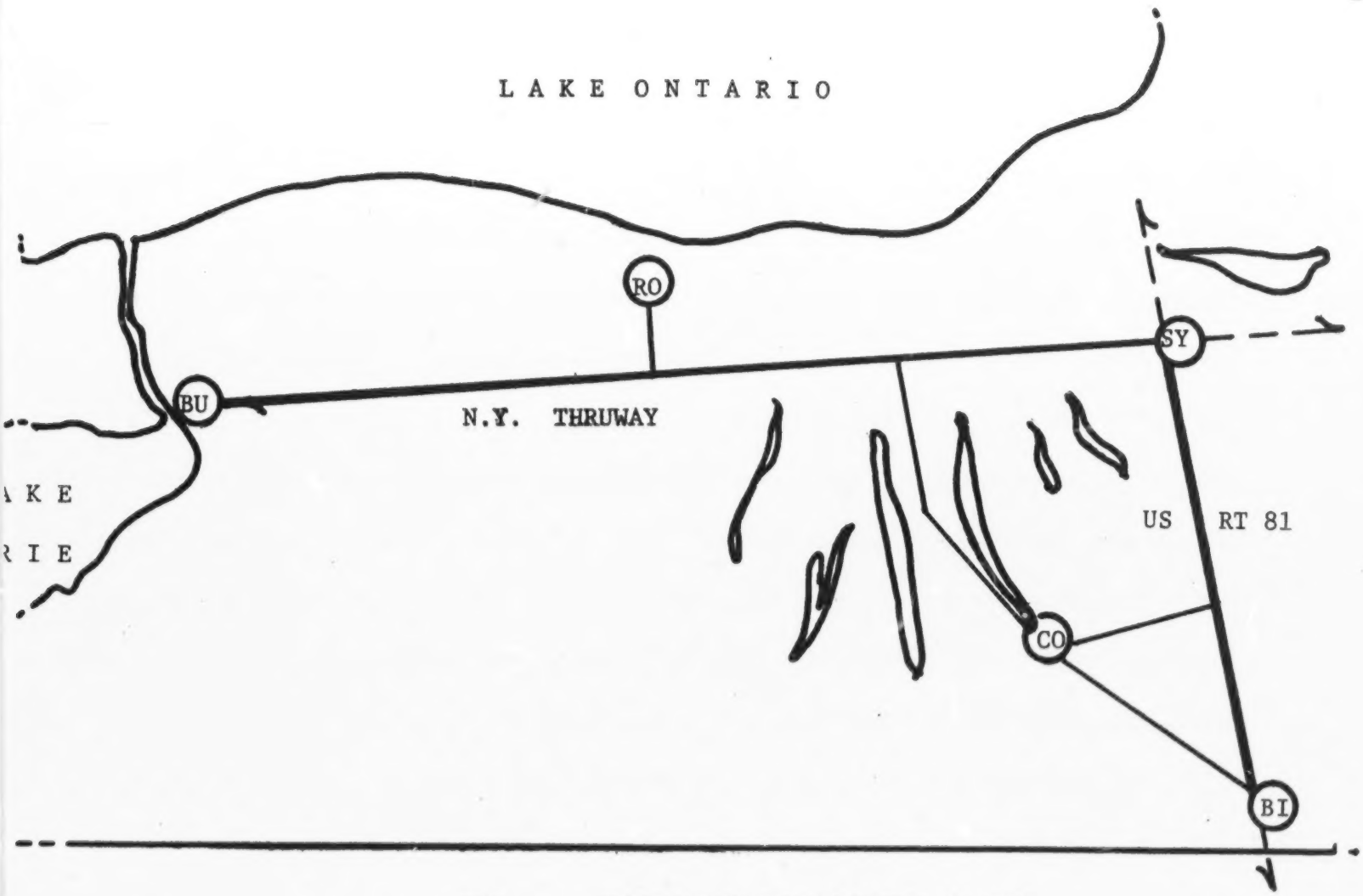

FIG. 1 GEOGRAPHIC ORIENTATION OF THE FIVE ASSOCIATED UNIVERSITY LIBRARIES

	Bi		Bu		Co		Ro	
	D	T	D	T	D	T	D	T
Bi								
Bu	200	4.5						
Co	46	1.2	150	3.0				
Ro	150	3.5	75	1.5	90	2.5		
Sy	78	1.5	150	3.5	60	1.2	90	2.2

Bi = SUNY-Binghamton

Bu = SUNY-Buffalo

Co = Cornell University

Ro = University of Rochester

Sy = Syracuse University

FIG. 2 TABLE OF APPROXIMATE DISTANCES (D) AND DRIVING TIMES (T)

D

6.0 BACKGROUND OF FAUL

To determine the genesis of an organization can be a fruitless voyage into mythology, but late in 1966, the librarians, with some senior staff members, of the three private universities began to compose a series of "talk papers" relating to different aspects of cooperative development. These papers explored computer applications, delivery systems, compact storage, budget and coordinated acquisitions. This exercise attracted interest from the two University Centers in the State University of New York (SUNY) and the result of these early efforts to find areas of common exploration was the present group--the Five Associated University Libraries.

The reasons for the coming together are many and subtle, but there appear to have been four primary forces: (1) the astonishingly rapid growth of SUNY and the New York State Library, (2) the band-wagon growth of library consortia across the country, (3) the promise of federal and private funding of library consortia--especially the "Networks for Knowledge" Title VIII of the Higher Education Act--and, (4) a genuine and deeply felt belief by the Chief Librarians that the problems of academic research libraries are unique in the spectrum of library types but are fairly similar in scale and kind among themselves.

Whatever the obscure reasons of the founders, the official objectives of the organization are fairly typical of many consortia and can be characterized by a few articles of faith: (1) that five libraries can do some things in common at less than five times the cost of doing them separately; (2) that a synergistic effect is possible whereby the whole could be greater than the sum of its parts.

7.0 ORGANIZATIONAL OBJECTIVES

The purposes of the Association are stated in Article II of its Constitution as follows:

> "Improve and develop cooperation among the Five Associated University Libraries."
>
> "Work towards a *coordinated policy for long-range library growth* and development with *coordinated acquisitions policies, shared resources,* the *development of compatible machine systems,* provision of *easy and rapid communications systems among the membership,* the provision of *shared storage facilities,* and exploration of *other areas of cooperation.*"

After enumerating these fairly specific objectives, the document describes the general methods by which they might be attained:

> "The Association will cooperate with other educational, library and research institutions and organizations inside and outside the geographical area to further the purposes of this Association."
>
> "In pursuit of its purpose, this organization shall initiate, promote and support research studies and projects and operational systems and projects which may lead to a knowledge of available resources and services and provide the means for increased interlibrary cooperative plans and services among five member institutions."

8.0 ORGANIZATIONAL STRUCTURE

A glance at FIG. 3 FAUL ORGANIZATIONAL STRUCTURE shows that the consortium has been organized into eleven functional units or committees of varying degrees of activity. Each of these groups has a specific charge which is periodically reviewed by the Executive Council. The last review, made in April 1970, resulted in a few important changes in committee structure, names, participants and charge. Most changes occurred in three groups: the Executive Council (8.2), the Technical Services Committee (8.8) and the User Services Committee (8.9). Each committee, its charge and current status is named and described below. The paragraph numbers (8.1, 8.2 etc.) are keyed to FIG. 3.

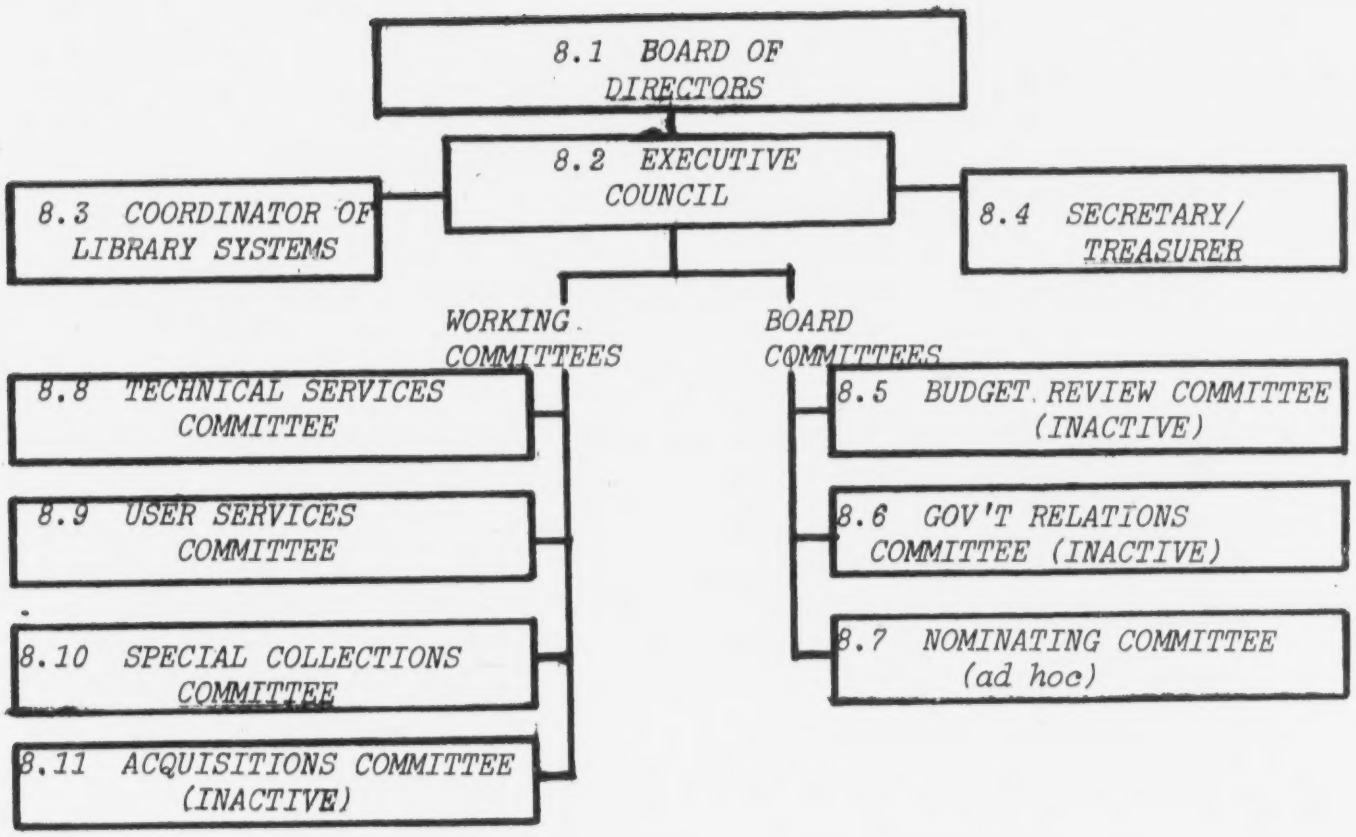

FIG. 3 FAUL ORGANIZATIONAL STRUCTURE

8.1 Board of Directors

The Chief Librarian and the Academic Vice-President (ex officio) from each member institution form this, the governing group of the consortium. Each member library has one institutional vote, 3/5ths being a quorum, and each personal representative may designate one or more representatives. The group therefore contains a minimum of ten members who serve continuously during the tenure of their positions at the member institution.

The Board's charge is conceptually simple: it has the responsibility of managing and controlling the affairs of the association and is empowered to take any appropriate actions. It can hire employees, acquire property and make contracts.

The above is explicitly stated in the group's Constitution and By-Laws.

Annually the Board elects a Chairman and a Vice-Chairman from its membership. Traditionally, the Administrative Assistant to the Coordinator of Library Systems also has served as an appointed Secretary/Treasurer (8.4).

This group meets at least four times each year usually explicitly inviting committee chairman to attend and report as well.

8.2 Executive Council

This group is composed of the Chairman and Vice-Chairman of the Board of Directors, a third Chief Librarian on a monthly rotating basis and the Coordinator of Library Systems. It meets monthly except during the Summer representing the full Board by monitoring the day-to-day operations of the organization more closely than the full Board is able to. The Board frequently delegates much of its decision-making to this group in an effort to involve more intimately those chief librarians not holding elected offices in the organization.

8.3 Coordinator of Library Systems

An employee of the Board, his role is not defined very clearly. He and his staff form an information switching center, secretariat, proposal writer, investigator, contract signer, committee hound and gadfly. His true role is that of integrator. That work which members of committees performed in the consortium's early days as overload has very often been delegated to his office. This act alone has reduced the involvement of a few key individuals who participated heavily in the early months of the organization.

8.4 Secretary/Treasurer

These functions are vested in the person of the Coordinator's Administrative Assistant. Accounting, however, is done by Syracuse University under contract to FAUL.

8.5 Budget Review Committee (Inactive)

Usually composed of a Vice-President and a Chief Librarian, this group has been a sub-set of the Board reviewing budget proposals prepared by the Coordinator before the full Board approves them. This committee is inactive at present, its functions having been taken over by the Executive Council. It probably will not be revived.

8.6 Government Relations Committee (Inactive)

Without a chairman for over a year, this group is formally charged as follows:

> "To inform the Board and the Coordinator about pertinent local, state and federal legislation pertinent to library funding. Of primary interest are SUNY and other N. Y. State government sponsored library activities. Written and/or oral reports of activities and recommendations for action should be made to the Board at the request of the Chairman."

In general, this function is performed informally by all Board members. Historically all that the group has done is send a letter to the State Regents requesting them to involve FAUL in building a centralized bibliographic data base. No discernable effect resulted.

8.7 Nominating Committee (ad hoc)

Self-explanatory. Elections are held in June for Chairman and Vice-Chairman who serve from July through June, the consortium's fiscal year. Office-holders may succeed themselves.

8.8 Technical Services Committee

The charge and procedure for this committee reads as follows:

> "To work closely with the FAUL Central staff to determine areas of cooperation in acquiring, organizing and processing materials for

optimal use. The Committee may appoint ad hoc task groups to study specific problems. Written and/or oral reports of activities and recommendations for action will be made to the Board of Directors at the request of the Chairman."

This group is composed of the Head of Technical Services from each library and since its formation in June 1970 has not yet convened. It is a direct outgrowth of a predecessor Systems Committee which had a broad mandate to investigate the application of technology to cooperative problems. The extensive work of that group is reviewed under *INVENTORY OF ACTIVITIES*, below.

8.9 User Services Committee

"To study, develop and recommend procedures for increasing the ease of access to FAUL collections and information services by its user populations. Investigations should emphasize cooperative activities in circulation control, intra-FAUL loans, intra-FAUL information channels, reference services and other public service activities. Ad hoc task groups may be appointed to study specific problems. Written and/or oral reports of activities and recommendations for action will be made to the Board of Directors at the request of the Chairman."

The members of this Committee are generally from the Assistant or Associate Director echelon. Its predecessor was the Access Committee which contained a mixture of branch and circulation librarians and one Assistant Director. The new committee, formed in June 1970, represents equivalent echelons from each library. The broad activities of the Access Committee are also described below.

8.10 Special Collections Committee

"To determine areas, procedures, and projects for cooperation among FAUL members in special collections (e.g. rare books archives, manuscripts, etc.). The Committee may appoint ad hoc task groups to study specific problems. Written and/or oral reports of committee activities and recommendations for action should be made to the Board at the request of the Chairman."

In general,rare book librarians, archivists and manuscript curators form this group. Since there is great unevenness in the scope, quality and quantity of special collections among the five libraries, and differing specialties among the Committee representatives, this group has many weaknesses inherent in it. It has, however, produced two editions of a joint manuscripts catalog and taken group positions on several policies relating to access and acquisition procedures. See also below.

8.11 Acquisitions Committee (Inactive)

This group produced a joint acquisitions policy survey and then was disbanded in April 1969. Its charge was:

> "To determine areas of cooperation in acquisitions activities among FAUL members, and to study and recommend plans and procedures for promoting these cooperative efforts. Written and/or oral reports of activities and recommendations for action should be made to the Board at the request of the Chairman."

Since its deactivation, the Executive Council approved a contract with an outside expert for an intensive evaluation of joint acquisitions possibilities in FAUL. This report will be submitted to the Board for action in October.

An official historical record of work done by the several committees is maintained by minutes and monthly status reports. Bidirectional communication is kept open through a bi-monthly newsletter which alternates with an internal bi-monthly status report of projects.

The organizational structure,such as it is, has been briefly outlined. A judgment of the adequacy of this type of structure to fulfill the objectives of the organization can be made with greater certainty if a rapid inventory of accomplishment and failure is presented. This inventory of FAUL activities follows.

9.0 INVENTORY OF ACTIVITIES

As the italicized phrases in the excerpt from the FAUL Constitution indicate above, seven areas of exploration were specifically mandated as organizational objectives:

9.1 To develop coordinated acquisitions policies
9.2 To develop means for sharing resources
9.3 To develop shared storage facilities
9.4 To develop easy and rapid communications systems among the membership
9.5 To develop compatible machine systems
9.6 To explore and develop other areas of cooperation
9.7 To develop a coordinated policy for long-range growth

Each of these objectives is discussed below in terms of the effort FAUL has made to attain them during these past 26 months.

9.1 To develop coordinated acquisitions policies

The Acquisitions Committee(now deactivated)was given this area of investigation in its charge as stated above. After a year's work the Committee submitted its report to the Board in April 1969 entitled: *Joint Acquisitions Policy: Subject List Arranged by the Library of Congress Classification Scheme (Draft)*. The report contained a list of LC subject categories adjacent to which each library indicated its "level of collecting intensity" at that moment in time. No subsequent record has been kept of local acquisitions policy changes as a result of this exercise, therefore no measure of its effectiveness can be reported.

A proposal to test a machine-based book ordering procedure whereby machine-readable data would be supplied by vendors to the member libraries was forwarded to the Committee for consideration. Because of the "selection" orientation of the group (as opposed to technical orientation), and other events noted below, the proposal was not considered by the Committee and remains dormant. The Com-

mittee was disbanded in April 1969 because the problem of coordinated acquisitions development appeared to the Board to be too time-consuming and too closely tied to the vagaries of curricular changes and research programs at each institution. It is interesting to note that since that date, all members of the Acquisitions Committee have left their respective institutions, except one, SUNY-Binghamton. No cause-effect relationship is intended.

Incidental to this activity was the implementation of an arrangement to transport all Public Law 480 materials in Arabic from Syracuse to SUNY-Binghamton for cataloging and housing because of the latter's strength and the former's weakness in academic programming in this area. The arrangement probably would have occurred had FAUL existed or not.

Two events have occurred which are directly attributable to FAUL effort. First, a two-month contract to review acquisitions activity in FAUL libraries was signed with an outside acquisitions expert. The contract will result in a report which will recommend a plan for coordinating resource development in FAUL. This contract will be completed by the end of September 1970.

Second, the University of Rochester library has responded quickly to an idea which SUNY-Binghamton originated, and has called each of the other FAUL libraries offering to share costs of purchasing a particularly expensive item with no conditions placed upon the location of the purchased item. All Rochester requires in return is a unit catalog card and the right to request the item on interlibrary loan. The precedent should contribute to further development of the idea but no formal procedures have been drawn up. It is interesting to note

here that one member of the group has eagerly seized upon a variation of an idea initiated by another. A kind of idea-sharing which should be nourished in all consortia.

In any event, interest in sharing expensive acquisitions for the purpose of reducing costs of duplication seems to be awakening. It has been the experience so far, however, that good ideas die quickly if they are not taken seriously by at least two libraries in the membership.

9.2 To develop means for sharing resources

In this context the word "resources" is defined to include people's ideas, the work they do, and the materials and facilities which they use.

In the sense that useful experiences and ideas are shared by the staffs of the member libraries during mutual visits and meetings, FAUL has indeed committed itself to maximize these opportunities. Since April 1968, over 3300 man-hours have been devoted to meetings by library staff members; this figure does not include preparation time or other informal visits. The time spent is the equivalent of over 1.5 man-years in a little over two calendar years. Very little has been done to measure either the efficienty of the meetings or their effect within the member libraries. Presumably, a series of small changes are continually occurring, which in the long run do make the member libraries "fit" better together. In general, the assumption operating here has been "the more that people with similar professional interests communicate, the greater the chances for stimulating and infusing good ideas and practices among them." By corollary, the chances for maintaining poor practices are thereby decreased. A counter-assumption could say that a mutual defense pact <u>against</u> change would develop. There is in FAUL a tendency for both assumptions to work under varying conditions.

The most interesting example of resource-sharing as defined above in FAUL to date has been the Staff Visitation Program. Over a span of six months, each library has invited staff members from its sister libraries to spend 1-1/2 days examining the facilities and procedures and talking with their counterparts about common problems. The final visitation in this current series occurred in June 1970. The series dealt mainly with the transfer of experience and comparison of procedures about circulation services. A report was made to the Access Committee which indicates that this activity has been of great personal value to the participants and there is strong feeling that the technique should be continued and expanded into a full-blown continuing education program for other groups within the organization. This idea is under study with the Graduate School of Library Science at Syracuse University.

There are three other activities which also give support to the attainment of this objective. The first is the publication of the *Directory of Personnel of the Five Associated University Libraries and Computing Centers*. This directory lists about 85 professionals from FAUL universities, indicates title, address, telephone number and states if they participate in FAUL committees or projects. A proposal before the Board, developed by the Access Committee, recommends the expansion of this directory to include language and special subject competencies of library staff members, thereby widening the potential application of rare and unusual skills to problems through the Association.

In order to increase the ease of access by faculty and students to each member library, two agreements were made relating to In-Person-Borrowing Privileges (IPBP). In April 1968 IPBP were offered to faculty members. This agreement meant

that any faculty member could borrow circulatable items from any FAUL library merely by showing his ID card in-person at a FAUL library. As a measure of use by FAUL borrowers of Cornell resources, exclusive of interlibrary loan, 158 faculty members and 360 students borrowed 2400 items during FY 1968-69.

In January 1970, similar privileges were announced for doctoral candidates. Authorization cards are issued by the user's home library after clearance by a designated staff member. Monthly reports are made to the Access Committee and problems are cleared up handily. Recent figures suggest the following summary statement, projected over one year at current activity rates: All FAUL libraries will issue about 275 IPBP cards this year to students who would not have received permission before. The principal flow has been from Syracuse to Cornell (76%); Cornell has not issued any so far this year.

A series of policy statements relating to future expansion of the borrowing privilege was adopted by the Access Committee. In general, the Committee strongly recommended that this trend should be continued as long as possible. Monitoring and implementation of this kind of policy decision could be more easily done if compatible computer-based circulation control systems were operating in FAUL.

In early Summer of 1969, the Access Committee began assembling data to compile a *FAUL HANDBOOK*. The publication provides basic information to aid the faculties and students of the five universities to use each other's libraries. It includes information about transportation, lodging, locations, and important telephone numbers which a user may need to know in order to use the facilities and resources of the FAUL libraries fully and efficiently. It was published in June 1970.

The Access Committee adopted the following agreement about photocopies on December 16, 1969:

> "No charges will be made among FAUL libraries, including branches, for photocopies and associated charges relating to interlibrary loans. All interlibrary loan requests sent to Cornell which are eligible for NYSILL will continue to be so coded."

Since extensive resource-sharing requires a knowledge of what items are owned by each library, three projects were undertaken toward satisfying that need.

First. In the Spring of 1969, a request for matching funds was submitted to the National Endowment for the Humanities. The request totalled $10,000 to produce a monograph entitled, *Notable Research Collections in Upstate New York: Critical Descriptions*. It was to have been a one-year project. The NEH would not support the request, saying that it was of limited national value. No further action has been taken.

Second. Two editions of a publication entitled, *Manuscripts for Research* have been published. The first was distributed in February 1969; the second in October. Over 700 manuscript collections are listed. Cornell assumed compilation, editorial and printing responsibility for the second edition, and FAUL Central paid out-of-pocket expenses. This series appears to have been well received by the academic community; over 7000 copies have been mailed. The responsibility for the series resides with the Special Collections Committee. Entries were composed on an IBM MT/ST so the cost of a third edition should be minimal.

Third. The organization is well along in the compilation of a *Short Title Catalog of 18th Century British Imprints*. About 20,000 citations from the member libraries are involved, and they have been assembled in card form at Cornell. After editing they will be converted to machine-readable form, indexed and printed. An added bonus will be a more important product, a magnetic tape

containing the citations. Citations in this form can be used by literary researchers for quantative analysis of printers (for instance) as well as for minimizing the effort of updating the file. FAUL is working with the National Committee on an Eighteenth Century STC to produce this product, which relies heavily upon FAUL's experience in the computer manipulation of text. See MASFILE, below

9,3 To develop shared storage facilities

A major way to share book resources is to share the costs of housing them in a single low-overhead building and transport them on demand to points of use. A talk paper on shared storage was written in March, 1967: *Organizing a Compact Storage Collection of Library Material.* The paper was a thoughtful beginning of a pilot project which was never carried further for basically two reasons, 1) Syracuse, Rochester and Buffalo each had local off-campus storage facilities, and 2) Cornell, Rochester and Buffalo became members of the Center for Research Libraries, and Syracuse also supports a few of the Center's projects.

In the intervening months the picture has changed somewhat. In Spring 1970, the University of Rochester opened a new and spacious library; Syracuse will also in less than two years; Buffalo is opening up other facilities but still maintains a large off-campus warehouse; Cornell is beginning to plan for additional library space needed earlier than anticipated and Binghamton has moved over 40,000 volumes to the local county library because of space pressure. All libraries have uncataloged backlogs and they are increasing.

Shared storage facilities can take basically two forms: a single centralized facility, or a series of specialized facilities tied together by rapid delivery services. The first configuration does not exist in FAUL yet, since

the Center for Research Libraries is designed to serve that need for seldom-used materials, and some FAUL libraries substantially support that institution. The second configuration already exists by historical accident. Special collections in poetry, Arabic, railroad archives, Southeast Asia materials and many others have developed almost by whim and opportunity, but completely unplanned. Where these specialized collections overlap and/or supplement each other, there appears to be fruitful grounds for single-building storage and processing services.

A recent study by an operations research team explicated the economic advantages of centralized compact storage for FAUL libraries, as it might relate to the Center for Research Libraries as an intermediate node in a national repository system.* The barriers to establishing such a center appear to be more psychological than economic.

9.4 To develop easy and rapid communications systems among the membership

Communication theory tells us that a message, sender, a channel, and a receiver are the basic components of any communication system. The direction is reversable and some monitoring component must be included in order to maintain system operation. In FAUL the major effort has been under the control of the Access Committee, and has been directed mainly to the transport of 1) documents, and 2) people, and 3) messages from one library to another.

In line with the study of telefacsimile devices made for the New York State Library by Nelson Associates, the FAUL Central Staff has also concluded that the process would be not only too expensive for ILL document transfer but for administrative communications between the Coordinator's office and a FAUL Systems Group at SUNY-Buffalo. Until equipment and procedures are developed

*Unpublished

which will allow books and micro-images to be transmitted legibly and at reasonable speed and cost, FAUL has elected not to investigate this technology further. It should be noted that Syracuse University Library does use such a system successfully between its main building and a warehouse about two miles from campus.

All FAUL libraries have TWX facilities as a result of their participation in NYSILL and the 3R's programs. (These are described in other conference papers). Therefore, the following resolution was adopted in December 1969:

> "That teletype machines be used for reference services as well as for interlibrary loan queries among FAUL libraries."

Since the committee structure of FAUL was changed during the Summer of 1970, follow-up on this resolution and other cooperative reference services has been deferred until the reference librarians have a chance to study the problem within the User Services Committee.

As part of its study of inter-institutional transportation, the Access Committee also looked at busing faculty and students between the campuses. An ad hoc test from Binghamton to Cornell, a relatively heavy-use corridor, revealed that little demand for bus service existed. This test was not preceded by publicity nor was Cornell aware of it until it was concluded. A recommendation by the Committee that a similar test be run between SUNY-Buffalo and Rochester has not been implemented.

The major activity concerned with the attainment of this objective is the FAUL Library Delivery Service Pilot study. The Board instituted a two-phase study designed to discover the most appropriate way to move books and other materials between the member libraries. The first phase consisted of identifying nine modes of transport ranging from helicopter service through a FAUL station-

wagon fleet and common carriers. The second phase resulted in a test of United Parcel Service while simultaneously gathering data on times, loads and costs of such transport compared with alternate modes. Preliminary observations indicate that speed of transport is not of very much concern either to the librarians or to users; that most of the delay occurs within the libraries--not between them; that U. S. Mail though unpredictable is the cheapest mode considering the low volume of materials now moving between FAUL members.

Communication has of course been heavily telephone oriented, supplemented by day-long conferences with appropriate individuals. Because of its central location and ready availability to transportation arteries, committees have generally met at Hancock Airport in Syracuse. Because of noise and air pollution however, other quarters are also being used in local motels.

9.5 To develop compatible machine systems

Responsibility for pursuing this objective has rested largely with the FAUL Systems Committee, the predecessor of the Technical Services Committee. Since there has been resistance to adopt particular machine systems for any purpose in more than one library, standardization of a "FAUL system design" has not been accomplished in any significant way. There has been, however, one area which the Systems Committee has been able to develop to some degree; the development of a central file of bibliographic records in machine-readable form. This effort is called the MASFILE Project. The principle working group has been the MASFILE Input Group (MIG) a task group of catalogers monitored by the Systems Committee.

The MASFILE Project is conceived as a long-ranged series of experiments designed to produce a centralized data base composed of records selected from each library and from MARC tapes. So far two phases have been completed. MASFILE-I

resulted in a final report, a report of an on-line editing experiment, and a 365 page bound printout of a bibliographic file arranged alphabetically by author, indexed by LC class number, LC card number and title. The records were selected from each library and centrally converted to machine-readable form. The printout was also produced in microfiche form on KOM-90 Computer-Output Microfilm machine. Most of the computer work was done by sub-contract and the on-line experiment was completed and reported by the Research and Planning Group at Syracuse University Library.

The next phase, MASFILE-II, was built upon the first and is not completed. A printout has been produced as specified in both paper and computer output microfiche. The greatest problem in this phase was the bankruptcy of the contractor and a consequent delay of seven months. A report will be issued together with a microfiche set containing the second expanded experimental catalog. The cost of both phases of this effort in contract expenses has been about $22,000 including that part of the experiment conducted by the Syracuse University Library--on-line editing of the data base located at SUNY-Buffalo using ATS.

Members of the Board and the Systems Committee have been raising questions about the utility of the MASFILE series. In order to alleviate the uncertainty a rather elaborate set of questions relating to long and short-range planning were processed through each FAUL committee in a series of "rounds" built upon a procedure described by Olaf Helmer known as the "Delphi Technique." In general the weighted consensus favored the development of a method to query the holdings of each library for interlibrary loan and cataloging purposes. These and other conclusions are articulated in the MASFILE-II report to be published in Fall 1970. Building upon that consensus, the library staffs are now evaluating

A proposal to trade main entry cards for items which are cataloged locally.

Processing of weekly MARC tapes distributed by the Library of Congress has been operating since June 1968. Software has been written, debugged and implemented which converts the incoming tape codes to IBM360 coding (USASCII to EBCDIC), merge new records with those already in the file, produce LC card number indexes, and duplicate tapes. This action was accomplished by the Technical Information Dissemination Bureau (TIDB) at SUNY-Buffalo under contract to FAUL. Originally the weekly tapes were processed monthly and distributed to each member library. After noting that no library had plans for using them, (despite early assertions to the contrary) the secondary distribution was terminated. Upon learning of the de-activation of the TIDB, the processing center was moved to Syracuse and is now on the local IBM Service Bureau machine.

The MARC tapes have been used in the MASFILE experiments to extract selected records and merge them with other records in the MASFILE data base. It is expected that the MARC Processing Center and the MASFILE-III project will merge under a new contractor: a contractor yet to be selected to do work yet to be defined by the Technical Services Committee.

As referred to above (page 5) the following microcase study of an attempt to cooperate in circulation system development reveals many problems typical of non-centralized automation projects. In the Spring of 1969, the time was propitious for many FAUL libraries to seek ways to either up-grade their current mechanized circulation control systems or begin studies to implement a first one. Accordingly, Cornell invited all FAUL libraries to participate in a systems study of local circulation procedures. At first no one responded, then Rochester came in, and finally Buffalo sent an observer. Binghamton and Syracuse did not particip because the former was busily upgrading its IBM357 system to an IBM1030 system, and

Syracuse wanted to experiment with a variation of the Binghamton System.

With this uncertainty, one assumption was made by the Coordinator and the Access Committee: that at least three libraries would eventually adopt a 1030-like system (Binghamton - Syracuse - Buffalo). The first level of compatibility which the Committee could grapple with seemed to be to standardize codes for user ID cards, since no agreement was apparently possible on book cards. Accordingly, a 12-digit code was adopted for Hollerith punching into plastic ID cards. Syracuse immediately went about the task of using that code. As of this date, no one else has done so. The outcome of the Cornell-Rochester feasibility study is not yet known, but the Cornell administration does not favor the Hollerith Coding scheme for ID cards. Now Syracuse is pretty well committed to a Colorado Instruments system, Cornell wants bar-coding, Rochester wants Colorado Instruments data collection system and Buffalo has just installed an on-line ATS-based system which requires no book cards or ID cards at all. The libraries are somewhat closer together with respect to circulation system compatibility, but one major block appears to be that in some cases the library has little if any control of the computer operations at the local institution. And the clout apparent in the composition of the Board of Directors has not been effectively mobilized.

A final activity directed toward machine compatibility is the development of a "FAUL Systems Team." In October 1969, the directors of the five computing centers met with the FAUL Board and Joseph Becker. A major recommendation emerging from that meeting was that FAUL should establish a central group of library systems analysts of the highest quality. Originally the group was to have been five persons under one roof at FAUL Central. As it turned out it became two FTE's located in Buffalo in a group which was in the process of

disintegration. A generous amount of supporting funds was allocated by the Board; most of it carried forward into the next fiscal year. Of the FTE's available, only one could be called a library systems analyst and he never spent more than half-time for the three months which he was assigned to the team.

The mission of the team was to analyze the technical processing activities in each of the five libraries at a fairly high level of generality. So far five reports have been drafted. The team has been disbanded, two of the key members going to Ohio State and a third to Digital Equipment Corporation. The main reason for the diaspora was the lack of firm long-term commitment by the Board to maintain such a team. When the team members realized this, they naturally looked elsewhere.

On August 17, 1970 a contract was awarded to Upstate Medical Center to begin the development of an on-line serials control system for two, possibly three libraries.

Several lessons have been learned in the process of working toward compatible machine systems. 1) an outside national authority or standard helps members to agree--MARC for example; 2) libraries which are relatively more highly mechanized are least able to change their systemsvery much; 3) at least three members consider themselves prima donnas,asserting that they can do most machine projects better than any of the other members; 4) the prima donnas are essentially competitive with each other, and 5) few if any members really want centralized systems planning anyway, particularly if as a result money flows away from local computer centers.

9.6 To explore and develop other areas of cooperation

Other areas of investigation can be quickly listed: (1) joint support of four research fellowships at funding agencies for review; (2) another proposal involving FAUL and the library schools at SUNY-Buffalo and Syracuse to build a pilot set of microfiche packets, machine-readable tapes and an evaluation of current reserve room activities is still in the works.

An inventory of publications produced by FAUL libraries has been completed. The User Services Committee must take next steps here.

Five short documents relating to Special Collections policies were distributed to Library Directors. They are a broadside attempt to produce a consistent set of policies. The titles of these documents are:

> *Establishing Legal Title to Gifts Made to Members of the Five Associated University Libraries; Statement of Recommended Policy Regarding Appraisals in the Five Associated University Libraries; Policy Affecting Accessibility of Manuscript Materials in the Five Associated University Libraries; Policy Affecting Photocopying of Manuscript Materials in the Five Associated University Libraries; Policy Affecting Provenance and Integrity of Manuscripts in the Five Associated University Libraries.*

As of this date only two libraries have endorsed them. When they are approved, they will be so publicized.

9.7 To develop a coordinated policy for long-range growth

The traditional method for planning in FAUL has been for a position paper to be written about a particular subject, then counter papers have been written to modify it. These papers are intended to bring to light salient factors relating to particular interests of FAUL. They have usually been written by individual Board members. A recent talk paper entitled *Talk Paper on FAUL Program and Budget Projections*, was distributed to the library directors for comment and only one responded. The respondent was very much in favor of this

paper, but no one else picked up the lead. Clearly this technique has limited use, particularly if decisions are to be made quickly. The interim conclusion reached by the Executive Council, (which originated the paper) was that few Board members can or want to grapple with the future 5-15 years from now.

FAUL faces a quandry. The question is often asked, why don't we pick just one thing and do that? The unsatisfying response is always, "which one thing?" As the reader can readily see, the Board has no real planning mechanism; FAUL has relatively low priority in most members' minds and guilt more than anything else produces any action at all. A comparatively simple act such as incorporation--accomplished so easily within the 3R's Councils to which each library belongs, still has not been resolved in FAUL after 18 months of pushing. By not acting,the organization has cut itself off from state funds and the group is viewed with some reservations by granting agencies because long-term commitment is not assured.

To promote such planning the move to restructure some committees as described in *Organizational Structure* above was made. The Systems Committee and the Access Committee were renamed and reconstituted as the Technical Services Committee and User Services Committee respectively. But these changes probably will not get at the root of the quandry.

10.0 SUMMARY AND SOME OBSERVATIONS

About thirty-five projects or activities have been mentioned in this report. Two have been completed, three tabled and three dropped. The remaining twenty-seven are either continuous or in various stages of completion. Six of them are in the proposal stage, either before committees, the Board or funding agencies. This load may appear heavy, but relatively few library staff members are engaged in any of them at any one time and they can probably be continued without much

staff strain.

The acquisition of a central facility for storage, centralized computer processing or message switching seems further off than a year ago. Tight money, lack of coordinated commitment, increasingly deeper entrenchment in local computer systems, and a competitive rather than a cooperative spirit inhibit its development.

Cooperative acts which are dependent upon the agreement of counterparts within each library are crippled by lack of counterparts. This situation is particularly acute in special collections activities where SUNY-Binghamton, SUNY-Buffalo and to some degree Rochester have been weak. In such situations, committee work tends to be dominated by the larger institutions. The cycle of rechecking between unauthorized representatives with the decision makers is an endless exercise in futility. A radical solution (but a cooperative one) would be to combine departments of libraries under a single strong head effectively creating, a branch department of one library at a second FAUL library. To assert that member libraries can afford to become more independent than they are now is reactionary, and counter to a major reason for FAUL's existence: sharing resources.

Fiscal year 1970-71 will be decisive. Up to now the organization has been groping for an identity and it will continue to do so. Embedded in this process has been a continual testing of the limits cooperative acts can reach and a concommitant gradual delineation of what each library's objectives are in joining together. But very soon as a group it must decide which future FAUL will become 3-10 years from now. Otherwise the grope, the vague discontent will continue and no one will be satisfied.

FAUL will continue to be embedded in several networks and consortia itself. One member library for instance can count at least fifteen other cooperative

agreements which it is trying to honor. New York State, one of the most advanced in cooperative library development, is fortunate in having excellent leadership at the state and regional levels. The Coordinator and other persons related to FAUL sit on a large number of advisory boards of regional and national library networks. This kind of cross-pollination insures some form of liaison and parallel development. A key question for all consortia which see themselves in FAUL's model is how such groups can interface both conceptually and technologically. This question should form a basic area of concern for attendees at this conference.

The reader can readily observe that this case study of a young library consortium has been unrestrained in its reportage. Glossing over the struggles and rough edges would have been strategically wise perhaps, but the gut issues of network building must be raised during this conference or its value to the consortium movement could be lessened. It should be clearly understood that FAUL and other consortia will be successful in the long run only if they face honestly the problems raised by this and other papers and determine to resolve them.

In conclusion, the words of Gilbert Prentiss (p. 88) are appropriate here: "It is my deep conviction that over and above the problems and techniques of network establishment and operation which we have touched on, there is an overriding urgency to try to understand what it is that we would accomplish with our networks and to make our own evaluation of whether this is the best thing we can do as librarians for the society in which we live or to the particular community of users we serve."

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